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Approved for use through 10/31/2002. OMB 0651-0032

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. **1584/65397**  
First Inventor **Randy Prager, et al.**  
Title **Desktop, Stream-Based, Information Management System**  
Express Mail Label No. **EL628789664US**

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
  2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
  3. ☒ Specification [Total Pages **29**]  
(preferred arrangement set forth below)
    - Descriptive title of the invention
    - Cross Reference to Related Applications
    - Statement Regarding Fed sponsored R & D
    - Reference to sequence listing, a table, or a computer program listing appendix
    - Background of the Invention
    - Brief Summary of the Invention
    - Brief Description of the Drawings (if filed)
    - Detailed Description
    - Claim(s)
    - Abstract of the Disclosure
  4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **9**]
  5. Oath or Declaration [Total Pages ☐  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☒ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No.: **09/398,611 & 09/673,255**

Prior application information:

Examiner **2771**

Group Art Unit: **W. Amsbury**

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



or ☐ Correspondence address below

Name

**23432**

Address

PATENT TRADEMARK OFFICE

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

**Ivan S. Kavrukov**

Registration No. (Attorney/Agent)

**25,161**

Signature

*Ivan S. Kavrukov*

Date

**June 26, 2001**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)**710.00**

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	<b>Randy Prager, et al.</b>
Examiner Name	
Group Art Unit	
Attorney Docket No.	<b>1584/65397</b>

## METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	<b>03-3125</b>
Deposit Account Name	<b>Cooper &amp; Dunham LLP</b>

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)**710**

## 2. EXTRA CLAIM FEES

		Extra Claims		Fee from below		Fee Paid	
Total Claims		-20** =		X		=	
Independent Claims		-3** =		X		=	
Multiple Dependent						=	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**710**

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**710**

## SUBMITTED BY

Name (Print/Type) **Ivan S. Kavrukov**Registration No. **25,161**

## Complete (if applicable)

Telephone **212-278-0400**

Signature

*Ivan S. Kavrukov*

Date

**June 26, 2001**

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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COPY OF PAPERS  
ORIGINALLY FILED

Dkt. 1584/65397

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Randy Prager, et al.

Serial No. : 09/892,385

Group Art Unit: 2171

Date Filed : June 26, 2001

Examiner:

For : DESKTOP, STEAM-BASED,  
INFORMATION MANAGEMENT SYSTEM

1185 Avenue of the Americas  
New York, N.Y. 10036

Assistant Commissioner for Patents  
**Box Missing Parts**  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF**  
**APPLICATION-FILING DATE GRANTED**  
**AND TRANSMISSION OF ASSIGNMENT FOR RECORDATION**

In response to the Notice to File Missing Parts of Application-Filing Date Granted dated October 12, 2001, applicants hereby transmit (i) copy of the PTO Notice, (ii) Declaration and Power of Attorney (attached hereto as Exhibit A), (iii) check for \$130 surcharge for late filing of the Declaration, (iv) 9 substitute drawing sheets, figures 1-10 (attached hereto as Exhibit B), and (v) An abstract (attached hereto as Exhibit C).

Applicant also transmits for recordation (vi) an Assignment of this invention to Mirror Worlds Technologies, Inc., (vii) Recordation Form Cover Sheet (Form PTO-1595), and (viii) check for the \$40 recordation fee.

I hereby certify that this paper is being deposited this date with the U.S. Postal Service as first class mail addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

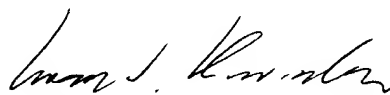
*Ivan S. Kavrukov*  
Ivan S. Kavrukov  
Reg. No. 25,161

*May 10, 2002*  
Date

The Commissioner is authorized to charge any additional fees, or to credit any overpayment, to our Deposit Account No. 03-3125.

If a petition for an additional extension of time is required to make this response timely, this paper should be considered to be such a petition, and the Commissioner is authorized to charge the requisite fees to our Deposit Account No. 03-3125.

Respectfully submitted,



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Ivan S. Kavrukov, Reg. No. 25,161  
Attorney for Applicants  
Cooper & Dunham LLP  
Tel.: (212) 278-0400

09892385.060502

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of : Randy Prager, et al.

Serial No. : Group Art Unit:

Date Filed : Concurrently Herewith Examiner:

For : DESKTOP, STREAM-BASED,  
INFORMATION MANAGEMENT SYSTEM

1185 Avenue of the Americas  
New York, N.Y. 10036

Assistant Commissioner for Patents  
**Box Patent Application**  
Washington, D.C. 20231

**EXPRESS MAIL  
LETTER OF TRANSMITTAL**

Express Mail mailing label number: EL628789664US

Date of Deposit: June 26, 2001

I hereby certify that the above-identified application consisting of a 29-page specification, 9 sheets of drawings (Figs. 1-10), attached Transmission Letter in Accordance With 37 C.F.R. 1.52(e)(ii) with enclosed compact disk and list of files in hard-copy (in duplicate, with CD Copy 1 and CD Copy 2), Information Disclosure Statement, form PTO-1449 and a copy of the cited reference, Utility Patent Application Transmittal, and a check for the \$710 filing fee are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.



Person Depositing Express Mail Material

Attorney for Applicant:

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